

	2005
1284	TUE. FEBRUARY 01st 2005

REDACTED

	VIEW
TUE. FEBRUARY 01st 2005	VIEW

PandiaDOUGLAS BRYMER ([sign out](#))Current Book of Business: [DOUGLAS BRYMER \(KK1\)](#)> [CLIENT FOCUS](#) > [CLIENT SEARCH](#)

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4 CLIENTS FOUND WHERE CLIENT LAST
NAME STARTS WITH

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LAST NAME ▲	FIRST NAME	CREATED DATE	CLIENT ADDRESS	BANK	BRANCH NAME	SERVICING BANK	SERVICING BRANCH CODE	SERVICING BRANCH NAME	CLIENT BALANCE
REDACTED				96	WESTMONT	96	66	WESTMONT (66)	\$0.00
				96	WESTMONT	96	66	WESTMONT (66)	\$282,086.63
				96	SCHAUMBURG	96	79	SCHAUMBURG (79)	\$1,242.43
				96	SCHAUMBURG	96	79	SCHAUMBURG (79)	\$0.00

Pandia

DOUGLAS BRYMER (sign out)

Current Book of Business: DOUGLAS BRYMER (XX1)

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Bag Log ID: NEW FRI, DECEMBER 7th DOUGLAS BRYMER

Add Contents

Line Of Business: ADDITIONAL ACCOUNT PAPERWORK

Provider: NFS (BROKERAGE)

Account Type:

Client Name:

SSN:

REDACTED

Branch: WESTMONT (66)

PLEASE PUT A CHECK NEXT TO EACH TYPE OF DOCUMENT BEING SENT FOR THIS ACCOUNT

- | | | |
|--|--|---|
| <input type="checkbox"/> PROFILE | <input type="checkbox"/> EZ NEW BUSINESS FORM | <input type="checkbox"/> WM - FEE BASED ACCOUNT SUPPLEMENT |
| <input type="checkbox"/> CAP ADV ACCOUNT SUMMARY SHEET | <input type="checkbox"/> FEE IN LIEU FORM | <input type="checkbox"/> WM - HOUSEHOLDING RELATIONSHIP FORM |
| <input type="checkbox"/> CAP ADV INVESTMENT ADVISORY AGMT | <input type="checkbox"/> IRA APPLICATION - NFS | <input type="checkbox"/> WM - IRA APPLICATION-NFS |
| <input type="checkbox"/> CIP - DRIVERS LICENSE/BANK INFO | <input type="checkbox"/> IRA CONVERSION | <input type="checkbox"/> WM - IRA FEE IN LIEU OF COMMISSIONS |
| <input type="checkbox"/> ANNUITY ACKNOWLEDGMENT | <input type="checkbox"/> IRA DISTRIBUTION | <input type="checkbox"/> WM - IRA POA AFFIDAVIT & INDEMNIFICATION |
| <input type="checkbox"/> MUTUAL FUND/UIT ACKNOWLEDGMENT | <input type="checkbox"/> LETTER OF INSTRUCTION | <input type="checkbox"/> WM - LETTERS OF OFFICE |
| <input type="checkbox"/> SWITCH LETTER | <input type="checkbox"/> MARGIN/OPTIONS APPLICATION - NFS | <input type="checkbox"/> WM - LLC AGMT |
| <input type="checkbox"/> STOCK CERTIFICATE *** | <input type="checkbox"/> NEW ACCOUNT FAX | <input type="checkbox"/> WM - MARGIN AGMT |
| <input type="checkbox"/> STOCK POWER | <input type="checkbox"/> NFS CHECKS | <input type="checkbox"/> WM - MUTUAL FUND PERIODIC INVESTMENT |
| <input type="checkbox"/> UNSOLICITED ACKNOWLEDGEMENT | <input type="checkbox"/> OUTGOING TRANSFER FORM | <input type="checkbox"/> WM - MUTUAL FUND SYSTEMATIC WITHDRAWAL |
| <input type="checkbox"/> ACAT - NFS | <input type="checkbox"/> PIP/SWP/IEFT CONTRIBUTION FORM | <input type="checkbox"/> WM - OPS CONFIRMATION |
| <input type="checkbox"/> ADDITION FORM | <input type="checkbox"/> POA COURT DOC/AFFIDAVIT | <input type="checkbox"/> WM - OPTION AGMT |
| <input type="checkbox"/> AFFIDAVIT OF DOMICILE | <input type="checkbox"/> RISK TOLERANCE QUESTIONS | <input type="checkbox"/> WM - PARTNERSHIP AGMT |
| <input type="checkbox"/> AMA APPLICATION | <input type="checkbox"/> SPEEDTRADE | <input type="checkbox"/> WM - POA AFFIDAVIT (NON IRA) |
| <input type="checkbox"/> AMA MAINTENANCE FORM | <input type="checkbox"/> TCIP - NFS | <input type="checkbox"/> WM - RETIREMENT ACCT APP |
| <input type="checkbox"/> AMENDMENT TO THE CUSTOMER AGREEMENT | <input type="checkbox"/> TOD - NFS | <input type="checkbox"/> WM - RETIREMENT ACCT DIST FORM |
| <input type="checkbox"/> ANNUITY WITHDRAWAL FORM | <input type="checkbox"/> TRANSFER/1035 | <input type="checkbox"/> WM - SEC FORM 144 |
| <input type="checkbox"/> BENEFICIARY DESIGNATION - NFS | <input type="checkbox"/> W-9 | <input type="checkbox"/> WM - SUITABILITY UPDATE FORM |
| <input type="checkbox"/> CAP AD TO FILE | <input type="checkbox"/> WM - ACCOUNT APP / INDIVIDUAL | <input type="checkbox"/> WM - SWITCH LETTER |
| <input type="checkbox"/> CAP ADV INVESTMENT STRATEGY REPORT | <input type="checkbox"/> WM - ACCOUNT APP / INSTITUTIONAL | <input type="checkbox"/> WM - TRADING AUTHORIZATION - FULL |
| <input type="checkbox"/> CAP ADV NON QUAL ACCT TRANSITION | <input type="checkbox"/> WM - AGENT CERT OF INVESTMENT POWERS | <input type="checkbox"/> WM - TRADING AUTHORIZATION - LIMITED |
| <input type="checkbox"/> CAP ADV REQUEST TO CHANGE MODEL | <input type="checkbox"/> WM - AMA ACCOUNT APPLICATION | <input type="checkbox"/> WM - TRUST EXCERPTS |
| <input type="checkbox"/> CHANGE OF BROKER DEALER/REP | <input type="checkbox"/> WM - AMA ACCT MAINTENANCE FORM | <input type="checkbox"/> WM - UNINCORPORATED ASSOC RESOLUTION |
| <input type="checkbox"/> CHECK PAYABLE TO LFS FOR VA SWEEP | <input type="checkbox"/> WM - B SHARE ACKNOWLEDGEMENT FORM | <input type="checkbox"/> WM - VERIFICATION OF DEPOSIT |
| <input type="checkbox"/> CHK PAYABLE TO ANNUITY/529/FUND CO | <input type="checkbox"/> WM - CERT IN NAME OTHER THN THT OF ACCT | <input type="checkbox"/> WM - VIP TRADE ACCOUNT APPLICATION |
| <input type="checkbox"/> COLLATERAL AGREEMENT | <input type="checkbox"/> WM - CONTROL AGMT | <input type="checkbox"/> WM - W9 |
| <input type="checkbox"/> COMMISSION STATEMENTS / CHECKS | <input type="checkbox"/> WM - CORPORATE RESOLUTION | <input type="checkbox"/> WM - WIRE BASIC PACKAGE |
| <input type="checkbox"/> CONTRABROKER ACCOUNT STATEMENT | <input type="checkbox"/> WM - CORRESPONDENCE | <input type="checkbox"/> WM - WIRE CALL BACK WAIVER |
| <input type="checkbox"/> CONTRACT DATA PAGE | <input type="checkbox"/> WM - CTRL / RSTRCD STOCK BRKRS LTR | <input type="checkbox"/> WM - WIRE LOI - REPETITIVE |
| <input type="checkbox"/> CUSTOMER COMPLAINT | <input type="checkbox"/> WM - CTRL / RSTRCD STOCK PLEDGE AGT | <input type="checkbox"/> WM - WIRE LOI - SINGLE |
| <input type="checkbox"/> DEATH CERTIFICATE | <input type="checkbox"/> WM - CTRL / RSTRCD STOCK QUESTION | <input type="checkbox"/> WM - PERFORMANCE REPORTING |
| <input type="checkbox"/> DEPOSIT SLIP FOR FA SWEEP | <input type="checkbox"/> WM - CTRL / RSTRCD STOCK SELLRS LTR | <input type="checkbox"/> OTHER 1: |
| <input type="checkbox"/> EQUITY DIVIDEND REINVESTMENT | <input type="checkbox"/> WM - DUE DILIGENCE WORKSHEET | <input type="checkbox"/> OTHER 2: |
| | <input type="checkbox"/> WM - EARNINGS DISTRIBUTION FORM | <input type="checkbox"/> OTHER 3: |

Additional Account Paperwork Sales Log

#	Source Type	Source Of Funds Description (Optional - unless Source Type is 'Other')	Amount	Received Date	Is this check payable to LFS?
1.	-SELECT-		\$ 0	12/7/2007	-SELECT-
2.	-SELECT-		\$ 0	12/7/2007	-SELECT-
3.	-SELECT-		\$ 0	12/7/2007	-SELECT-
4.	-SELECT-		\$ 0	12/7/2007	-SELECT-